

Community Services Block Grant (CSBG) Model State Plan

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Section 1

CSBG Administrative Information

1.1. Identify whether this is a one-year or a two-year plan. ☐ One-Year ☒ Two-Year

1.1a. Provide the federal fiscal years this plan covers: Year One 2019 Year Two 2020

1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated:

The CSBG program moved to the Energy Division in February 2017.

- | | | |
|--|---|-------------------------------------|
| <input type="checkbox"/> Lead Agency | <input checked="" type="checkbox"/> Department Type | <input type="checkbox"/> Office |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Work Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |

1.2a. Lead agency: **Alabama Department of Economic and Community Affairs (ADECA)**

1.2b. Cabinet or administrative department of this lead agency

- ☒ Community Affairs Department
- ☐ Community Services Department
- ☐ Governor's Office
- ☐ Health Department
- ☐ Housing Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe: **[Narrative, 100 characters]**

1.2c. Cabinet or Administrative Department Name: Alabama Department of Economic and Community Affairs

1.2d. Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M.

Name: **Kenneth W. Boswell** Title: **Director**

1.2e. Street Address: **401 Adams Avenue**

1.2f. City: **Montgomery**

1.2g. State: **Alabama**

1.2h. Zip Code: **36103**

1.2i. Work Telephone Number and Extension (if applicable): **(334) 242-5591**

1.2j. Fax Number: **(334) 242-5099**

1.2k. Email Address:

Kenneth.Boswell@adeca.alabama.gov

1.2l. Lead Agency Website: <http://adeca.alabama.gov>

1.3. **Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **Document will be attached at submission.**

1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

☐ Agency Name

☐ Point of Contact

☐ Street Address

☐ City

☐ State

☐ Zip Code

☐ Work Number

☐ Fax Number

☐ Email Address

☐ Website

1.4a. Agency Name **Alabama Department of Economic and Community Affairs**

1.4b. Point of Contact Name: **Rhoda Talley** Title: **CSBG Program Manager**

1.4c. Street Address: **401 Adams Avenue**

1.4d. City: **Montgomery**

1.4e. State: **Alabama** 1.4f. Zip Code: **36103**

1.4g. Work Telephone Number: **(334) 242-5412**

1.4h. Fax Number **(334) 242-0552**

1.4i. Email Address:

rhoda.talley@adeca.alabama.gov

1.4j. Agency Website <http://adeca.alabama.gov>

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated.

The State Association changed their address in June 2017.

☐ Agency Name

☐ Executive Director

☒ Street Address

☐ City

☐ State

☒ Zip Code

☐ Work Number

☐ Fax Number

☐ Email Address

☐ Website

☐ RPIC Lead

1.5a. Agency name: **Community Action Agencies Association of Alabama**

1.5b. Executive Director or Point of Contact

Name: **Ron Gilbert**

Title: **Executive Director**

1.5c. Street Address: **201 Beacon Parkway West, Suite 204**

1.5d. City: **Birmingham**

1.5e. State: **Alabama**

1.5f. Zip Code: **35201**

1.5g. Telephone Number: **(205) 227-7688**

1.5h. Fax Number: **(205) 227-7923**

1.5i. Email Address: rgilbert@caaalabama.org

1.5j. State Association Website <http://www.caaalabama.org>

1.5k. State Association currently serves as the Regional Performance Innovation

Consortia (RPIC) lead ☐ Yes ☒ No

Section 2

State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☒ Yes ☐ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☒ Yes ☐ No
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2.
Document will be attached at submission.
- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year.
☐ Yes ☒ No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year.
☐ Yes ☒ No
- 2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency.
☒ Yes ☐ No

Section 3

State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency.

ADECA is responsible for administering a broad range of State and Federal programs that contribute to the department's mission, Building Better Alabama Communities. Each year ADECA distributes millions of dollars to Alabama cities, counties, non-profit organizations, and others. The grants support economic development projects, infrastructure improvements, energy conservation, law enforcement traffic safety, recreation development, and assistance to low-income families. ADECA also works to monitor and protect Alabama's water resources, and distribute State and Federal surplus property to local governments and other qualified organizations. ADECA's programs are as diverse as the people of Alabama and impact every corner of the state. The department works to assist children, the elderly, victims of crime and abuse, the disadvantaged, and the low-income. Businesses, local governments, schools, and non-profit organizations benefit from the hundreds of grants and contracts administered by ADECA.

- 3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

ADECA's goals for the community action network are to work with the agencies to improve the lives of low-income Alabama families by providing services to secure and retain meaningful employment, attain an adequate education, make better use of available income, obtain and maintain adequate housing and a suitable living environment, obtain emergency assistance, remove obstacles and solve problems which block the achievement of self-sufficiency, and achieve greater participation in the affairs of the community.

- 3.3. State Plan Development:** Indicate the information and input the state accessed to develop this State Plan.

3.3 a. Analysis of state-level tools [Check all that applies and narrative where applicable]

- ☒ State Performance Indicators and/or National Performance Indicators (NPIs)
 - ☐ U.S. Census data
- ☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
 - ☐ Tools not identified above (specify)

3.3 b. Analysis of local-level tools [Check all that applies and narrative where applicable]

- ☒ Eligible entity community needs assessments
- ☒ Eligible entity community action plans
- ☐ Public Hearings/Workshops
- ☐ Tools not identified above (e.g., state required reports) [specify]

3.3 c. Consultation with [Check all that applies and narrative where applicable]

- ☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
 - ☒ State Association
 - ☐ National Association for State Community Services Programs (NASCSPP)
 - ☐ Community Action Partnership (The Partnership)
 - ☐ Community Action Program Legal Services (CAPLAW)
 - ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
 - ☐ Regional Performance Innovation Consortium (RPIC)
 - ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
 - ☐ Federal CSBG Office
 - ☐ Organizations not identified above (specify)

3.4. Eligible Entity Involvement

3.4 a. Describe the specific steps the state took in developing the State Plan to involve the eligible entities.

An email was sent to all agencies on 06/28/2018 requesting input. The State Plan form was included in the email. The state reviewed the 2017 ACIS survey and the 2017 CAPs that were submitted by the agencies as well. A meeting with all agencies will be held once OMB releases the final document.

3.4 b. Performance Management Adjustment: Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

The state used the feedback from the ACIS survey in development of the plan. Due to late release of the Model State Plan by OMB the state did not have earlier meeting with agencies to discuss the plan. The state requested agencies provide input via email and will hold a meeting with all agencies once OMB releases the final document.

3.5. Eligible Entity Overall Satisfaction: Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One 85% Year Two 85%

Section 4

CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act.

The state will hold a public hearing once OMB releases the final document. There will be a 30-day comment period after the hearing.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

The state will distribute notice to all agencies, an email from the League of Municipalities and the Association of County Commissions of Alabama to all members, and posting on the Alabama Secretary of State's website at least 10 days prior to the public hearing.

- 4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

4.4.

Date	Location	Type of Hearing [Select an option]	If a Combined Hearing was held confirm that the public was invited.
07/12/2018	11 South Union Street Room 200, Montgomery, AL	<input type="radio"/> Public <input checked="" type="checkbox"/> Legislative <input type="radio"/> Combined	
TBD by date of OMB release	401 Adams Avenue, Room 342 Montgomery, AL	<input checked="" type="checkbox"/> Public	
ADD a ROW function Note: States will be able to add as needed for each additional hearing.			

- 4.5.** Attach supporting documentation or a hyperlink for the public and legislative hearings.

Section 5

CSBG Eligible Entities

5.1. CSBG Eligible Entities: In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
Alabama Council on Human Relations, Inc.	Lee	Non-Profit	Limited Purpose Agency
Community Action Agency of South Alabama, Inc.	Baldwin, Clarke, Conecuh, Escambia, Marengo, Monroe, Wilcox	Non-Profit	Community Action Agency
Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	Chambers, Tallapoosa, Coosa	Non-Profit	Community Action Agency
Eleventh Are of Alabama Opportunity Action Committee, Inc.	Autauga, Chilton, Elmore, Shelby	Non-Profit	Community Action Agency
Community Action of Etowah County, Inc.	Etowah	Non-Profit	Community Action Agency
Southeast Alabama Community Action Partnership, Inc.	Barbour, Coffee, Geneva, Henry, Houston	Non-Profit	Community Action Agency
Community Action Partnership Huntsville/Madison and Limestone Counties, Inc.	Limestone, Madison	Non-Profit	Community Action Agency
Jefferson County Committee for Economic Opportunity	Jefferson	Non-Profit	Community Action Agency

Macon-Russell Community Action and Community Development Corporation, Inc.	Macon, Russell	Non-Profit	Community Action Agency
Marion-Winston Counties Community Action Committee, Inc.	Marion, Winston	Non-Profit	Community Action Agency
Mobile Community Action, Inc.	Mobile, Washington	Non-Profit	Community Action Agency
Montgomery Community Action Committee and Community Development Corporation, Inc.	Montgomery	Non-Profit	Community Action Agency
Community Action Partnership of North Alabama, Inc.	Cullman, Lawrence, Morgan	Non-Profit	Community Action Agency
Community Action Agency of Northeast Alabama, Inc.	Blount, Cherokee, DeKalb, Jackson, Marshall, St. Clair	Non-Profit	Community Action Agency
Community Action Agency of Northwest Alabama, Inc.	Colbert, Franklin, Lauderdale	Non-Profit	Community Action Agency
Organized Community Action Program, Inc.	Bullock, Butler, Covington, Crenshaw, Dale, Lowndes, Pike	Non-Profit	Community Action Agency
Pickens Community Action and Development Inc,	Pickens	Non-Profit	Community Action Agency
Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	Calhoun, Clay, Cleburne, Randolph, Talladega	Non-Profit	Community Action Agency

Walker County Community Action Agency, Inc.	Walker	Non-Profit	Community Action Agency
Community Service Programs of West Alabama, Inc.	Bibb, Choctaw, Dallas, Fayette, Greene, Hale, Lamar, Perry, Sumter, Tuscaloosa	Non-Profit	Community Action Agency

5.2. Total number of CSBG eligible entities: 20

5.3. Changes to Eligible Entities List: Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: **[Check all that apply]**.

- ☒ Designation and/or Re-Designation
- ☒ De-designations and/or Voluntary Relinquishments
- ☐ Mergers
- ☐ No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated).

There were no new entities designated. Community Service Programs of West Alabama, Inc. and Eleventh Area of Alabama Opportunity Action Committee, Inc. each were designated to serve two of the four counties left unserved by the voluntary relinquishment of another entity.

5.3b. De-Designations and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

Community Action Agency of Central Alabama voluntarily relinquished their status as an CSBG eligible entity.

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

Section 6

Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

- 6.1. Choice of Standards:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**
- ☒ COE CSBG Organizational Standards
 - ☐ Modified version of COE CSBG Organizational Standards
 - ☐ Alternative set of organizational standards
- 6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative (as applicable)]**
- ☐ Regulation
 - ☐ Policy
 - ☒ Contracts with eligible entities
 - ☐ Other, describe: **[Narrative, 5000 characters]**
- 6.3. Organizational Standards Assessment:** Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**
- ☐ Peer-to-peer review (with validation by the state or state-authorized third party)
 - ☐ Self-assessment (with validation by the state or state-authorized third party)
 - ☐ Self-assessment/peer review with state risk analysis
 - ☐ State-authorized third party validation
 - ☒ Regular, on-site CSBG monitoring
 - ☐ Other
- 6.4. Assessment Process:** Describe the planned assessment process.
Agencies upload supporting documentation for the standards in a state-wide data system. State staff review the documentation for compliance.
- 6.5. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ○ Yes ☒ No
- 6.6. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period.
Year One 25% **Year Two** 40%

SECTION 7

State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- ☐ Historic
- ☐ Base + Formula
- ☒ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities.

Funds are allocated in proportion to the size of the poverty population served by the agency when compared to the size of the poverty level population and available resources in the state.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☒ Yes ☐ No

7.2. Planned Allocation: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One 95% Year Two 95%

Funded amounts are based on assumption that CSBG will be level-funded for FY 2019 and FY 2020

CSBG Eligible Entity	Geographical Area Served (by county)	Amount expected to be funded annually for Years One and Two
Alabama Council on Human Relations, Inc.	Lee	393,702
Community Action Agency of South Alabama, Inc.	Baldwin, Clarke, Conecuh, Escambia, Marengo, Monroe, Wilcox	887,303
Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	Chambers, Tallapoosa, Coosa	251,020
Eleventh Are of Alabama Opportunity Action Committee, Inc.	Autauga, Chilton, Elmore, Shelby	567,355
Community Action of Etowah County, Inc.	Etowah	271,267
Southeast Alabama Community Action Partnership, Inc.	Barbour, Coffee, Geneva, Henry, Houston	591,671
Community Action Partnership Huntsville/Madison and Limestone Counties, Inc.	Limestone, Madison	754,366

Jefferson County Committee for Economic Opportunity	Jefferson	1,569,840
Macon-Russell Community Action and Community Development Corporation, Inc.	Macon, Russell	268,034
Marion-Winston Counties Community Action Committee, Inc.	Marion, Winston	161,888
Mobile Community Action, Inc.	Mobile, Washington	1,267,224
Montgomery Community Action Committee and Community Development Corporation, Inc.	Montgomery	651,660
Community Action Partnership of North Alabama, Inc.	Cullman, Lawrence, Morgan	554,267
Community Action Agency of Northeast Alabama, Inc.	Blount, Cherokee, DeKalb, Jackson, Marshall, St. Clair	967,475
Community Action Agency of Northwest Alabama, Inc.	Colbert, Franklin, Lauderdale	477,488
Organized Community Action Program, Inc.	Bullock, Butler, Covington, Crenshaw, Dale, Lowndes, Pike	576,107
Pickens Community Action and Development Inc,	Pickens	83,847
Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	Calhoun, Clay, Cleburne, Randolph, Talladega	729,324
Walker County Community Action Agency, Inc.	Walker	195,652
Community Service Programs of West Alabama, Inc.	Bibb, Choctaw, Dallas, Fayette, Greene, Hale, Lamar, Perry, Sumter, Tuscaloosa	1,183,932
Total		12,403,422

7.3 Distribution Process: Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

The state allocates 95% of the allocated CSBG funds. Prior to receiving the allocation letter grant agreements are prepared with all information except the amount. Approximate time - 4-5 days. When the allocation letter is received the distribution per entity is calculated and the amounts are entered into the grant agreements and a cover letter is developed. Approximate time - 3-4 days. A summary for State Legislatures is prepared. Approximate time - 4-5 days. The grant agreements, letters, and summaries are proofed by CSBG staff. Approximate time - 3-4 days. These are then forwarded to Unit Chief, Division Chief, Accounting Section, Legal Section, Audit Section for review. After these reviews, the Division Director signs the grant agreements. Approximate time 5-7 days. The Communication and External Affairs Divisions finalizes summaries, prepares press release, notifies State Legislatures of grant awards and assigns release date. Approximate time – 4-5 days. The grant agreements are mailed out to eligible entities on the release date.

7.4 Distribution Timeframe: Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☒ Yes ☐ No

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

7.5 Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.

ADECA is able to get contracts out to the eligible entities within 30 days after award letter is received.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6 Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5 % **Year Two** 5 %

7.7 State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 9 **Year Two** 9

7.8 State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 4.5 **Year Two** 5.0

Use of Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9 Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act? ☐ Yes ☒ No

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One** _____ % **Year Two** _____ %

7.10 Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out any activities.

- ☐ The state directly carries out all activities (No Partnerships)
- ☒ The state does not have remainder/discretionary funds
- ☐ The state partially carries out some activities
- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☐ State Community Action association

- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other [**Narrative, 2500 characters**]

Note: This response will link to the corresponding CSBG assurance in Item 14.2.

DRAFT

SECTION 8

State Training and Technical Assistance

- 8.1. Training and Technical Assistance Plan:** Describe the state's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds.)

The state has no discretionary funding for training and technical assistance.

- 8.1 a. Training and Technical Assistance Budget:** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One 0 Year Two 0

- 8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance.

The State Association and the state developed a Training and Technical Assistance Plan in 2017. The state in collaboration with the State Association will develop a revised Training and Technical Assistance Plan for the eligible entities based on needs identified in a survey conducted by State Association.

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? ☐ Yes ☒ No

- 8.3. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards.

The state will provide technical assistance to agencies with unmet standards within 90 days of monitoring visit. In addition, the State Association will also provide technical assistance to its members to the same agencies. The state will develop a training and technical assistance plan jointly with the State Association once a template is developed. The state currently participates in the State Association's annual conference and annual board retreat by providing workshops on various topics. The state CSBG staff and State Association staff will meet quarterly to determine training and technical assistance needed by the agencies.

- 8.4. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.)

No training activities listed in 8.1 due to having no discretionary funds.

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☐ State Community Action Association

- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other [Narrative, 1000 characters]

8.5. Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

The state will provide technical assistance to agencies with unmet standards within 90 days of monitoring visit. In addition, the State Association will also provide technical assistance to it's members to the same agencies. The state will develop a training and technical assistance plan jointly with the State Association once a template is developed. The state currently participates in the State Association's annual conference and annual board retreat by providing workshops on various topics. The state CSBG staff and State Association staff plan to meet on a quarterly basis to determine training and technical assistance needed by the agencies.

SECTION 9

State Linkages and Communication

Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1. State Linkages and Coordination at the State Level: Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☒ State Weatherization office
- ☐ State Temporary Assistance for Needy Families (TANF) office
- ☐ State Head Start office
- ☐ State public health office
- ☐ State education department
- ☐ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ State child welfare office
- ☐ State housing office
- ☐ Other

9.2. State Linkages and Coordination at the Local Level: Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)).

Many of the state's local agencies partner with United Way in their communities in preparing the community assessments. Agencies coordinate activities with financial institutions to provide financial literacy classes/workshops to participants. Agencies partner with 2-year colleges to provide training for low-income citizens. The state communicates funding opportunities that are available to the local agencies so that services can be expanded in the local service areas.

9.3. Eligible Entity Linkages and Coordination

- 9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

The state and eligible entities in the state will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the state, including faith-based organizations, other non-profit organizations and community organizations. Below is a list of activities coordinated with other entities:

- Disaster assistance
- Emergency assistance
- Employment supports
- Health Fairs
- Housing Counseling
- Child Care
- Job Fairs
- Parenting Classes

- 9.3 b. State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

In developing the community assessments for the agency's service area, focus groups are held within the communities. These focus groups include representatives from other nonprofit organizations, faith-based organizations, educational institutes, public and private sector. During the meetings services that are currently offered are discussed.

- 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?
- ☒ Yes ☐ No

- 9.4 a. WIOA Combined Plan:** If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through

statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

In accordance with the Community Services Block Grant Act, Alabama's twenty Community Action Agencies assist in meeting the needs of whole family structures as well as addressing the needs of an individual. Services to individuals and families that are WIOA related include:

- Customer/client evaluations and assessments;
- Information and referral based on client needs for education, employment or other assistance services (some services and assistance provided in house);
- Job readiness and skills counseling;
- Limited skill development, computers, day care and others (not all agencies);
- Job placement and development with local employers;
- Employability skills orientation and classes;
- Limited on-the-job training (not all agencies);
- Programs for youth and family development;
- Day Care and Head Start services (not all agencies);
- After school and summer programs for youth;
- Transportation (not all agencies);
- Emergency and special needs; and
- Client/customer case management, follow-up/tracking and results management.

9.4b. Employment and Training Activities: If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention: Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

All eligible entities in the state administer LIHEAP and have in place provisions for emergency energy assistance. The state LIHEAP office, also part of ADECA's Energy Division, monitors the entities for compliance.

9.6. Faith-based Organizations, Charitable Groups, Community Organizations: Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act.

In developing the community assessments for the agency's service area, focus groups are held within the communities. These focus groups include representatives from other nonprofit organizations, faith-based organizations, educational institutes,

public, and private sector. During the meetings services that are currently offered are discussed.

- 9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:**
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

The agencies use CSBG funds to enhance or supplement the activities of programs from other public and private sources. The agencies use CSBG funds for planning, coordination, and capacity-building to improve the effectiveness of other programs.

- 9.8. Coordination among Eligible Entities and State Community Action Association:**
Describe state activities for supporting coordination among the eligible entities and the State Community Action Association.

The state CSBG staff will continue to coordinate with State Community Action Association and eligible entities to support training opportunities and compliance.

- 9.9. Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Public Notice, Website, Email	
State Plan Development	Biannual	Email, Meetings	
Organizational Standards Progress	Monthly	Email, one-on-one	
State Accountability Measures Progress	Annually	Meetings/Presentations	
Community Needs Assessments/Community Action Plans	Quarterly	Email, Meetings, one-on-one	
State Monitoring Plans and Policies	As Needed	Email, Meetings	
Training and Technical Assistance (T/TA) Plans	Annually	Emails, Presentations	
ROMA and Performance Management	As Needed	Meetings	
State Interagency Coordination	As Needed	Meetings	
CSBG Legislative/Programmatic Updates	As Needed	Email, Meetings	
Tripartite Board Requirements	As Needed	Meetings, One-on-one	

- 9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures.

The state will prepare a report on an annual basis on the status of the State Accountability Measures. The report will be issued within 60 days of OCS acceptance of the CSBG annual report.

- 9.11. Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. **No changes were made.**

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.

SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on- site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet state goals, standards, and requirements; and other reviews as appropriate. This is an estimated schedule to assist states in planning. States may indicate “no review” for entities the state does not plan to monitor in the performance period.

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review	Brief Description of Other
Alabama Council on Human Relations, Inc.	Other		Mar-18	Monthly Desk Reviews and annual monitoring for organizational standards
Community Action Agency of South Alabama, Inc.	Other		Jun-18	Monthly Desk Reviews and annual monitoring for organizational standards
Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	Full Onsite	2019 - 2nd Qtr.	Oct-15	
Eleventh Are of Alabama Opportunity Action Committee, Inc.	Full Onsite	2019 - 1st Qtr.	Nov-15	
Community Action of Etowah County, Inc.	Other		Apr-18	Monthly Desk Reviews and annual monitoring for organizational standards
Southeast Alabama Community Action Partnership, Inc.	Full Onsite	2020 - 3rd Qtr.	May-17	
Community Action Partnership Huntsville/Madison and Limestone Counties, Inc.	Full Onsite	2019 - 1st Qtr.	Dec-15	
Jefferson County Committee for Economic Opportunity	Full Onsite	2019 - 1st Qtr.	Apr-15	
Macon-Russell Community Action and Community Development Corporation, Inc.	Full Onsite	2019 - 2nd Qtr.	Jun-16	
Marion-Winston Counties Community Action Committee, Inc.	Other		Sep-17	Monthly Desk Reviews and annual monitoring for organizational standards
Mobile Community Action, Inc.	Full Onsite	2020 - 4th Qtr.	Sep-17	
Montgomery Community Action Committee and Community Development Corporation, Inc.	Full Onsite	2019 - 3rd Qtr.	Apr-16	
Community Action Partnership of North Alabama, Inc.	Other		Dec-17	Monthly Desk Reviews and annual monitoring for organizational standards
Community Action Agency of Northeast Alabama, Inc.	Full Onsite	2019 - 1st Qtr.	Sep-15	
Community Action Agency of Northwest Alabama, Inc.	Other		Nov-17	Monthly Desk Reviews and annual monitoring for organizational standards

Organized Community Action Program, Inc.	Other		Nov-17	Monthly Desk Reviews and annual monitoring for organizational standards
Pickens Community Action and Development Inc,	Full Onsite	2020 - 4th Qtr.	Aug-17	
Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	Other		May-18	Monthly Desk Reviews and annual monitoring for organizational standards
Walker County Community Action Agency, Inc.	Full Onsite	2020 - 3rd Qtr.	Jul-17	
Community Service Programs of West Alabama, Inc.	Full Onsite	2020 - 2nd Qtr.	Jan-17	

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **Document will be attached at submission.**

10.3. Initial Monitoring Reports: According to the state's procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities?

Current policies and procedures do not have a specified number of days for disseminating reports.

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings: Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? ☒ Yes ☐ No

10.4a. Closing Findings Procedures: If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.

10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable. **0**

10.6. Reporting of QIPs: Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP?

Once state CSBG staff determines that an agency should be placed on QIP, the state notifies OCS via email the name of the agency, reasons for placement on QIP, and a copy of the QIP.

10.7. Assurance on Funding Reduction or Termination: The state assure that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

Policies on Eligible Entity Designation, De-designation, and Re-designation

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

10.8 b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public.

New designation is subject to the procurement process in compliance with Section 676A of the CSBG Act.

- 10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? ☐ Yes ☒ No

10.9 a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.

10.9 b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public.

The state follows guidance issued in CSBG IM No. 116 Corrective Action, Termination, or Reduction of Funding.

- 10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☐ Yes ☒ No

10.10 a. Re-Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public.

Re-designation is subject to the procurement process in compliance with Section 676A of the CSBG Act.

Fiscal Controls and Audits and Cooperation Assurance

- 10.11. Fiscal Controls and Accounting:** Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

Grant awards and sub-grant agreements (contracts) are entered into the ADECA accounting system when received with required approvals. Budgets are specifically recorded to federal budgeted line items and fund sources in a unique cost objective (cost center). Each contract is associated to the applicable cost center based on program purpose. As payments are processed to the contract and cost centers, budget balances are adjusted accordingly. Expenditures as well as budget to actual comparisons are reported monthly and cumulatively for management and financial reporting. These reports are used to prepare the SF-425 Federal fiscal reports (FFR).

- 10.12. Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

In accordance with the *ADECA Policies and Procedures Manual*, the ADECA Audit Section is responsible for coordinating required corrective actions to resolve audit or audit related findings resulting from on-site audits, single audit report submissions. Single Audits are thoroughly reviewed for compliance with applicable regulations and standards. Notification of acceptance of each single audit report is sent to the applicable Division Chief. Any correspondence required related to corrective actions for findings/questioned costs are prepared by the ADECA Audit Section. Management decisions are coordinated with the applicable Division for concurrence and/or comments. All payment plans are to be approved by the Director and the Financial Services Section must be notified.

- 10.13. Assurance on Federal Investigations:** The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

- 10.14. Performance Management Adjustment:** Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

No adjustments were made to the monitoring process. State staff reviewed responses from the ACIS survey and determined adjustments were not needed.

SECTION 11

Eligible Entity Tripartite Board

- 11.1. Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act. **[Check all that applies and narrative where applicable]**

- ☒ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]**

- 11.2. Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. **[Select one and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☒ As It Occurs
- ☐ Other **[Narrative, 2500 characters]**

- 11.3. Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act.

The state's CSBG Policy and Procedures Manual require that all eligible entities address petition for adequate representation is covered in the entity's bylaws.

- 11.4. Tripartite Board Alternative Representation:** Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act? ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12

Individual and Community Income Eligibility Requirements

- 12.1. Required Income Eligibility:** Provide the income eligibility threshold for services in the state. **[Select one item below and numeric response where applicable.]**

☒ 125% of the HHS poverty line

☐ X % of the HHS poverty line (fill in the threshold): _____% **[Numeric response]**

☐ Varies by eligible entity

12.1a. Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

See page 16 of the State CSBG Policies and Procedures Manual

- 12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance.

See page 16 of the State CSBG Policies and Procedures Manual

- 12.3. Community-targeted Services:** Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

Currently, the state has no provision in place for this. The state will develop provisions and include in the CSBG Policies and Procedures Manual.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.

- ☒ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.

See page 31 of the State CSBG Policy and Procedures Manual

13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.

- 13.2. Outcome Measures:** Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.

- ☒ CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

- 13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system.

The state has a certified ROMA implementer on staff with one additional staff who is in the process of obtaining certification. Eighteen of the state's twenty agencies now have either a NCRT or NCRI on staff or have staff in the process of becoming certified. The State Association also has a NCRT on staff. The agencies can request training and technical assistance at any time.

- 13.4. Eligible Entity Use of Data:** Describe how the state plans to validate that the eligible entities are using data to improve service delivery.

As part of the application that the agencies submit, goals are set at the beginning of each program year. On a quarterly basis the agencies submit a report from the on-line data system. The report identifies the status of the set goals. CSBG staff review the reports and communicate with agency staff on the status of the goals Community Action Plans and Needs Assessments.

- 13.5. Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

The state develops Community Action Plan (CAP) requirements and meets with agency management and staff to communicate the requirements. The agencies

submit their CAP to the state where CSBG staff review the CAP and provide technical assistance as needed.

- 13.6. Community Needs Assessment:** Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **Agencies are required to submit their community needs assessment every three years. During annual CAP review and during annual review of the organizational standards CSBG staff review the community needs assessment.**

SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1. Use of Funds Supporting Local Activities

CSBG Services

14.1 a. 676(b)(1)(A) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
 - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The state requires CSBG eligible entities to submit an annual CAP. The CAP includes a Program Activity Sheet which outlines their proposed activities. CSBG staff review the CAPs and ensures that the activities supported are eligible uses of CSBG funds and meet the noted assurances.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
 - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
 - (ii) after-school child care programs;

The state requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Program Activity Sheet which outlines their proposed activities. Staff reviews the CAP Plan and ensures that the activities supported are eligible uses of CSBG funds. Particularly, the state requires a referral to the Department of Human Resources (DHR) for families for whom child support might be a needed resource.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The state requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a Program Activity Sheet which outlines their proposed activities. The CAP also includes sections that address funding coordination and coordination with WIOA programs. CSBG staff review the CAPs to ensure that the activities are eligible uses of CSBG funds. The on-line data system prompts agency staff to refer clients to DHR for child support if the family is not currently receiving it.

State Use of Discretionary Funds

- 14.2. 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”
- The state does not have discretionary funds.**

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

The state requires CSBG eligible entities to submit an annual Community Action Plan (CAP). The CAP includes a description of the service delivery system, the counties served, the facilities where services are available, and information regarding how the eligible entity conducts outreach and delivers services. The CAP also describes how the eligible entity coordinates funds with other organizations.

Eligible Entity Linkages – Approach to Filling Service Gaps

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

- 14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

The state requires CSBG eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, eligible entities must complete a document which provides information regarding any innovative community and neighborhood-based initiatives related to the purpose of CSBG, which may include fatherhood initiatives and other initiatives which strengthen families and encourage effective parenting. A limited number of CSBG eligible entities have reported these types of initiatives. The state will continue to work with CSBG eligible entities to promote these initiatives if such gaps are identified in their CAP. As the state identifies information on webinars or funding opportunities related to this area, the State shares this information with CSBG eligible entities.

Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

The State requires eligible entities to submit an annual Community Action Plan (CAP). As part of the CAP, subrecipients must submit information related to how the eligible entity will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. Most CSBG eligible entities work with either a local food pantry or the food bank to provide food in these circumstances. If there are no other resources available, then CSBG funds are utilized to provide nutritional support.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy

Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[No response; links to 10.7]

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: The state describes this assurance in the State Linkages and Communication, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.[No response for this item]

- ☐ By checking this box, the state CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.2. Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

☐ Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.3. Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ☐ By checking this box, the state CSBG authorized official is providing the certification set out above.